



Patitioner's Docket No.: 791\_075 DIV

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of: Yukihiisa TAKEUCHI, Tsutomu NANATAKI,  
Toshikazu HIROTA and Koji KIMURA

Serial No.: 09/963,696

Art Unit: 3729

Filed: September 26, 2001

Examiner: Paul D. Kim

Confirmation No.: 2017

For: PIEZOELECTRIC/ELECTROSTRICTIVE DEVICE AND PRODUCTION  
METHOD THEREOF

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on December 3, 2003 under "EXPRESS MAIL" mailing label number EL 975171003 US.

*Elizabeth A. VanAntwerp*  
Elizabeth A. VanAntwerp

CERTIFICATION UNDER 37 CFR §1.97(e)

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TECHNOLOGY CENTER R3700

Sir:

- [x] Each item of information contained in the Information Disclosure Statement filed herewith was *first* cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

OR

- [ ] No item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Respectfully submitted,

*Stephen P. Burr*  
Stephen P. Burr  
Reg. No. 32,970

December 3, 2003

Date

SPB/eav

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**PATENT**

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**INFORMATION DISCLOSURE STATEMENT**

Sir:

TECHNOLOGY CENTER R3700

Pursuant to 37 C.F.R. §1.56, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached Form PTO-1449. Copies of each of the references listed on Form PTO-1449 are attached.

Also enclosed is a copy of a European Search Report bearing a mailing date of November 10, 2003 from a corresponding European patent application, and the U.S. PTO is directed thereto for a concise statement of possible relevance of the references cited therein.

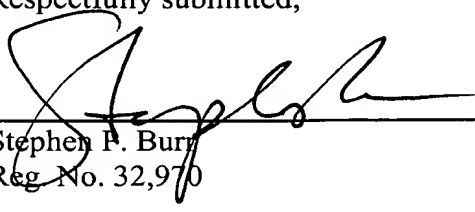
The above information is presented so that the Patent and Trademark Office may, in the first instance, determine any materiality thereof to the claimed invention. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that these references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

The Commissioner is hereby authorized to charge any additional fees associated with this communication or credit any overpayment to Deposit Account No. 50-1446.

Respectfully submitted,

December 3, 2003

Date

  
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*Elizabeth A. VanAntwerp*  
Elizabeth A. VanAntwerp

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TECHNOLOGY CENTER R3700

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §1.97(c)

TIME OF TRANSMITTAL OF ACCOMPANYING  
INFORMATION DISCLOSURE STATEMENT

1. The information disclosure statement transmitted herewith is being filed *after* three months of the filing date of this national application or the date of entry of the national stage as set forth in §1.491 in an international application or after the mailing date of the first Office action on the merits, whichever event occurred last but *before* the mailing date of either:

- (1) a final action under §1.113,
- (2) a notice of allowance under §1.311 or
- (3) an Office Action that closes prosecution.

STATEMENT OR SUBMISSION FEE

2. Accompanying this transmittal is

A. ☒ a statement as specified in 37 CFR §1.97(e).

OR


B. ☐ the submission fee set forth in 37 CFR §1.17(p) for submission of an information disclosure statement under §1.97(c). (\$180.00).

Fee due: \$00.00

**METHOD OF PAYMENT OF FEE**

3. ☐ Attached is a check in the amount of \$\_\_\_\_\_.
- ☐ Charge Account No. 50-1446 in the amount of \$\_\_\_\_\_. A duplicate of this request is attached.
4. ☒ If any additional fees are due, please charge Deposit Account 50-1446.

Respectfully submitted,

  
\_\_\_\_\_  
Stephen P. Burr  
Reg. No. 32,970

December 3, 2003

Date

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Form PTO-1449

US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

*(use as many sheets as necessary)*

*Complete if Known*

Application Number	09/963,696
Filing Date	September 26, 2001
First Named Inventor	Yukihisa TAKEUCHI
Art Unit	3729
Examiner Name	Paul D. Kim
Confirmation No.	2017
Attorney Docket No.	791_075 DIV

Sheet

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of

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### U.S. PATENT DOCUMENTS

Exam. Initial		Document Number	Date	Name	Our Docket No.	Class	Sub Class	Filing Date
	<b>BC</b>	2,980,811	04-18-1961	J.M. Jacque				

### U.S. COPENDING APPLICATIONS

Exam. Initial		Application/ Publication Number	Filing/ Publication Date	Inventor Name	Our Docket No.	Class	Sub Class

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**DEC 08 2003**

### FOREIGN PATENT DOCUMENTS TECHNOLOGY CENTER R3700

		Document Number	Date	Country	Class	Sub Class	Translation	Abstract

### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages etc.)

✓	<b>BD</b>	Hiroshi Sato et al., "New PZT Actuator Using Piezoelectric Thin Film on Parallel Plate Structure," 1997 International Symposium on Micromechanics and Human Science, Nagoya, Japan, 5-8 October 1997, pp 79-84.
✓	<b>BE</b>	Toshio Fukuda, et al., "Parallel Beam Micro Sensor/Actuator Unit Using PZT Thin Films and its Application Examples," 1998 IEEE International Conference on Robotics and Automation, Leuven, Belgium, 16-20 May 1998, pp 1498-1503.
✓	<b>BF</b>	Yoshikazu Soeno, et al., "Piezoelectric Piggy-Back Microactuator for Hard Disk Drive," IEEE Transactions on Magnetics, Vol. 35, No. 2, March 1999, pp 983-987.

Examiner:	Date Considered:
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.